

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant :	Steven M. Bloom et al.	Art Unit :	3624
Serial No. :	10/077,182	Examiner :	Sara M. Chandler
Filed :	February 15, 2002	Confirmation No.:	9522
		Notice of Allowance Date:	6/7/2010
Title :	BALANCING ARBITRAGABLE TRACKING SECURITIES		

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Commissioner for Patents  
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Alexandria, VA 22313-1450

RESPONSE TO NOTICE OF ALLOWANCE

In response to the Notice of Allowance mailed June 7, 2010, enclosed is a completed issue fee transmittal form PTOL-85b. The required fee of \$1810 is being paid concurrently on the electronic filing system by way of deposit account authorization. Please apply any credits or charges to Deposit Account No. 06-1050.

Respectfully submitted.

Date: September 3, 2010

/Denis G. Maloney/  
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I hereby certify that this paper was filed with the Patent and Trademark Office using the EFS-WEB system on this date: September 03, 2010

# **PART B – FEE(S) TRANSMITTAL**

Complete and send this form, together with applicable fee(s), to: **Mail**

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or **Fax**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

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26161

7590

06/07/2010

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APPLICATION NO	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/077,182	02/15/2002	Michael S. Spector	09857-00929001	9822

TITLE OF INVENTION: **BALANCING ARBITRAGABLE TRACKING SECURITIES**

APPL. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$1810	09/07/2010

EXAMINER	ART UNIT	CLASS-SUBCLASS
CHANDLER, SARA M.	3624	

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).
- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47, Rev. 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. Fish & Richardson P.C.
2. \_\_\_\_\_
3. \_\_\_\_\_

**3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)**

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE:

(B) RESIDENCE (CITY AND STATE OR COUNTRY)

**The Nasdaq OMX Group, Inc.**

**Rockville, MD**

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ individual ☒ corporation or other private group entity ☐ government

**4a. The following fee(s) are enclosed:**

- ☒ Issue Fee
- ☒ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies \_\_\_\_\_

**4b. Payment of Fee(s)**

- ☐ A check in the amount of the fee(s) is enclosed.
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- ☒ The Director is hereby authorized to charge the required fee(s), or credit any overpayment, to Deposit Account Number 06-1050 (enclose an extra copy of this form).

**5. Change in Entity Status (from status indicated above)**

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.
- ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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(Authorized Signature) /Denis G. Maloney/

Typed or Printed Name Denis G. Maloney

(Date) September 3, 2010

Registration No. 29,670

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